



Docket No. 5000-5109

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Yoshifumi KATO et al.

Group Art Unit: 2871

Serial No.: 10/613,711

Examiner: Phu VU

Filed: July 3, 2003

For: LIGHTING SYSTEM AND DISPLAY

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§1.56, 1.97 and 1.98. The items listed on Form PTO-1449, a copy of which is enclosed, are made of record to assist the Patent and Trademark Office in its examination of this application. The Examiner is respectfully requested to fully consider the items and to independently ascertain their teaching.

1. ☒ For each of the items listed on the enclosed copy of Form PTO-1449 that is not in the English language, an English language translation of that item or a portion thereof or a concise explanation of the relevance of that item is enclosed.
2. ☐ For each of the following items listed on the enclosed copy of Form PTO-1449 that is not in the English language, a concise explanation of the relevance of that item is incorporated in the specification of the above-identified application.
3. ☐ Any copy of the items listed on the enclosed copy of Form PTO-1449 that is not enclosed with this Information Disclosure Statement was previously cited by or submitted to the Patent and Trademark Office in application Serial No. _____, filed _____.
4. ☐ No fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with:
 - ☐ 37 C.F.R. §1.97(b)(1), within three months of the filing date of a national application other than a CPA; or

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- ☐ 37 C.F.R. §1.97(b)(2), within three months of the date of entry into the national stage as set forth in §1.491 in an international application; or
- ☐ 37 C.F.R. §1.97(b)(3), before the mailing date of a first Office action on the merits; or
- ☐ 37 C.F.R. §1.97(b)(4) before the mailing date of a first office action after the filing of an RCE under §1.114.
5. ☐ No fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c), after the period specified in paragraph 4 above but before the mailing date of a final action or a Notice of Allowance (where there has been no prior final action), and is accompanied by one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 9 below.
6. ☐ A fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c), after the period specified in paragraph 4 above but before the mailing date of a final action or a notice of allowance (where there has been no prior final action):
- ☐ A check in the amount of \$180.00 is enclosed in payment of the fee.
- ☐ Charge the fee to Deposit Account No. 13-4500, Order No. _____. A
DUPLICATE COPY OF THIS SHEET IS ATTACHED.
7. ☒ A fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(d), after the mailing date of a final action or a notice of allowance, whichever comes first, but before payment of the issue fee, and is accompanied by:
- a. one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 9 below; and
- b. the fee due under 37 C.F.R. §1.17(p) which is paid as set forth in paragraph 11 below.
8. ☐ This Information Disclosure Statement is being filed in compliance with:
- a. ☐ 37 C.F.R. §1.313(b)(3) or §1.313(c)(1), after the issue fee has been paid and information cited in this Information Disclosure Statement may render at least one claim unpatentable and is accompanied by the attached Petition To Withdraw Application From Issue and fee pursuant to 37 C.F.R. §1.17(h);
- b. ☐ 37 C.F.R. §1.313(c)(2) or §1.313(c)(3), after the issue fee has been paid and information cited in this Information Disclosure Statement is to be considered in a Request for Continued Examination (RCE) or a Continuation application upon abandonment of the instant application and is accompanied by the

attached Petition To Withdraw Application From Issue and fee pursuant to 37 C.F.R. §1.17(h).

- c. ☐ The fee due under 37 C.F.R. §§1.17(h) is paid as set forth in paragraph 11 below.
9. ☒ I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
- ☐ I hereby certify that no item of information in the Information Disclosure Statement filed herewith was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.
10. ☒ This document is accompanied by ☐ a Search Report ☒ Communication which was cited in a corresponding ☐ PCT or ☒ Foreign counterpart application
11. ☐ A check in the amount of \$ is enclosed in payment of the fees due under 37 C.F.R. §§1.17(h) and 1.17(p).
- ☒ Charge the fees due under 37 C.F.R. §§1.17(h) and 1.17(p) to Deposit Account No. 13-4500, Order No. 5000-5109. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required for this Information Disclosure Statement, or credit any overpayment to Deposit Account No. 13-4500, Order No. 5000-5109. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,
MORGAN & FINNEGAN, L.L.P.

Dated: August 16, 2006.

By: Steven F. Meyer
Steven F. Meyer
Registration No. 35,613

Correspondence Address:

MORGAN & FINNEGAN, L.L.P.
3 World Financial Center
New York, NY 10281-2101
(212) 415-8700 Telephone
(212) 415-8701 Facsimile



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CERTIFICATE OF MAILING (37 C.F.R. §1.8(A))

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

I hereby certify that the attached:

1. Information Disclosure Statement (3 pages, and duplicate);
2. Communication from Foreign Counterpart Application (4 pages);
3. Information Sheet for IDS - List of Reference and Relevance (2 pages);
4. Form PTO-1449 (1 page);
5. References Cited Therein (10 of 10);
6. Return Receipt Postcard;

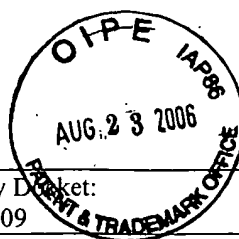
along with any paper(s) referred to as being attached or enclosed and this Certificate of Mailing are being deposited with the United States Postal Service on date shown below with sufficient postage as first-class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Respectfully submitted,
MORGAN & FINNEGAN, L.L.P.

Dated: August 16, 2006

By: Steven F. Meyer
Steven F. Meyer
Registration No. 35,613

Correspondence Address:
MORGAN & FINNEGAN, L.L.P.
3 World Financial Center
New York, NY 10281-2101
(212) 415-8700 Telephone
(212) 415-8701 Facsimile



FORM PTO-1449

INFORMATION DISCLOSURE CITATION

Attorney Docket:
5000-5109Serial No.:
10/613,711Applicant:
Phu VUFiling Date:
July 3, 2003Group Art Unit:
2871

U.S. PATENT DOCUMENTS

Examiner Initial	Patent Number	Issue Date	Name	Class	Sub-Class	Filing Date

FOREIGN PATENT DOCUMENTS

Examiner Initial	Patent Number	Publication Date	Country	Class	Sub-Class	Translation
	JP 7-301799	11/14/95	Japan	G02F	1/1335	English Abstract
	JP 7-312288	11/28/95	Japan	G02F	1/1335	English Abstract
	JP 10-078582	3/24/98	Japan	G02F	1/133	English Abstract
	JP 11-008075	1/12/99	Japan	H05B	33/04	English Abstract
	JP 11-214158	08/06/99	Japan	G02F	1/1335	English Abstract
	JP 2000-284726	10/13/00	Japan	H01L	51/52	English Abstract
	JP 2001-290146	10/19/01	Japan	G02F	1/13357	English Abstract
	JP 2002-043054	02/08/02	Japan	H01L	51/52	English Abstract
	JP 2002-098956	04/05/02	Japan	G02F	1/13357	English Abstract
	WO 00/34822	06/15/00	WO	G02F	1/1335	English Abstract

OTHER DOCUMENTS (Including Author, Title, Date, etc.)

Examiner

Date Considered

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP §609.
Draw line through citation if not in conformance and not considered.
Include copy of this form with next communication to Applicant.

Y/R: 5000-5109
O/R: P1P2003057US



INFORMATION SHEET FOR IDS

LIST OF REFERENCES AND RELEVANCE

Document No.	Publication date	Concise explanation of relevance	English abstract attached
Japanese Laid-Open Patent Publication No. 2002-98956	Apr. 5, 2002	Fig. 2 shows an LCD including an organic EL backlight 10 and a liquid crystal panel 100B. In Fig. 2, reference numeral 14 denotes a reflective electrode, and reference numeral 45 denotes a scattering layer.	Yes
Japanese Laid-Open Patent Publication No. 11-8075	Jan. 12, 1999	Fig. 11 shows an organic EL backlight 10 of top emission type. The backlight 10 includes a reflective electrode 12 and light scattering particles made of, for example, PVA or acrylic resin. The backlight 10 is mounted on a liquid crystal panel 30.	Yes
Japanese Laid-Open Patent Publication No. 2000-284726	Oct. 13, 2000	An organic EL device having a scattering member 200 is disclosed. As shown in Figs. 1 and 5(A) to 5(C), the scattering member includes a microlens substrate the surface of which is uneven.	Yes
Japanese Laid-Open Patent Publication No. 10-78582	Mar. 24, 1998	Fig. 1 shows a display including an organic EL element 12 and a liquid crystal panel 13. This publication discloses that the reflective surface of a reflective cathode electrode 15 of the organic EL element 12 may be uneven in order to scatter light.	Yes
Japanese Laid-Open Patent Publication No. 2001-290146	Oct. 19, 2001	Fig. 1 shows an LCD including a light scattering member 2 that is located between a liquid crystal panel 1 and an organic EL element 3. The light scattering member 2 contains particles for scattering light.	Yes
Japanese Laid-Open Patent Publication No. 11-214158	Aug. 6, 1999	Fig. 1 shows an EL element that is used as a backlight. The EL element includes a translucent scattering layer 1 that is formed from titanium oxide coated mica 1a and a binder 1b.	Yes

Document No.	Publication date	Concise explanation of relevance	English abstract attached
Japanese Laid-Open Patent Publication No. 7-312288	Nov. 28, 1995	Fig. 1 shows an EL element that is used as a backlight. The EL element includes a translucent scattering layer 1 that is formed from a resin film with metal particles 1a.	Yes
Japanese Laid-Open Patent Publication No. 7-301799	Nov. 14, 1995	Fig. 2 shows an EL element that is used as a backlight. The EL element includes a translucent scattering layer 6 with metal particles 6a.	Yes
Japanese Laid-Open Patent Publication No. 2002-43054	Feb. 8, 002	Fig. 1 shows an organic EL element. In Fig. 1, reference numeral 14 denotes a reflective cathode electrode, and reference numeral 18 denotes a scattering plate.	Yes
International Publication No. WO 00/34822	Jun. 15, 2000	Fig. 1 shows an LCD including a liquid crystal cell 3 and a light source 10. The light source 10 includes a scattering film 12 attached to the surface of a light guiding plate 14.	Yes